



Board of Ethics

2008 Annual Report

KING COUNTY CODE OF ETHICS
Helping Employees Make Ethical Decisions



King County

Department of
Executive Services
Board of Ethics





King County Board of Ethics

2008 ANNUAL REPORT

JANUARY 1, 2008, THROUGH DECEMBER 31, 2008

MEMBERS

Roland H. Carlson
Margaret T. Gordon, Ph.D. (*term expired 3/25/08*)
Gunbjorg Ladstein
Bruce C. Laing
Lois Price Spratlen, Ph.D., Chair
Rev. Paul F. Pruitt (*term expired 5/31/08*)
Anne J. Watanabe

EXECUTIVE DIRECTOR

Catherine A. Clemens

BOARD COUNSEL

Alan Abrams

KING COUNTY EXECUTIVE

Ron Sims

DEPARTMENT OF EXECUTIVE SERVICES

James J. Buck, County Administrative Officer and Director



King County

KING COUNTY BOARD OF ETHICS

The Chinook Building
401 Fifth Avenue, Suite 131
CNK-ES-0131
Seattle, WA 98104 - 1818

206.296.1586
Fax 206.205.0725
TTY Relay: 711

board.ethics@kingcounty.gov
www.kingcounty.gov/ethics

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King County

King County Board of Ethics

March 2008

King County Executive Ron Sims
Metropolitan King County Council Chair Dow Constantine
Members of the Metropolitan King County Council
Separately Elected Officials

The King County Board of Ethics is pleased to present you with our 2008 Annual Report. Under KCC 3.04.090, the Board is charged with ensuring the implementation of the Code of Ethics, and we seek to accomplish this primarily through our education and outreach programs. In 2008, Board staff conducted regular training for new employees and officials, distributed written and web-based information, and administered our annual on-line quiz for employees, which saw an increase in the number of quiz participants. As in past years, we received inquiries from elected officials, employees, management personnel and others regarding the Code of Ethics. We are pleased that the Board continues to be viewed as a reliable and readily accessible resource for County personnel. We encourage anyone with an interest in King County government to attend our monthly meetings, and this year we were joined by a judge from Madagascar, the Honorable Jean de Dieu Rakotondramihamina, who wanted to learn more about the Board and implementation of the Code of Ethics. Our successful 2008 Ethics Leadership reception celebrated the contributions of County employees and officials who promote high ethical standards throughout County government.

In 2008, the Board continued to see endorsement by government agencies of the Multilateral Statement of Ethical Principles, developed by the Board in 2006. Endorsements were obtained from the cities of Seattle and Spokane. In 2009, the Board will invite additional government agencies within King County and across the State of Washington to join us in accepting and endorsing this important Statement of Principles.

The year also brought significant changes to the Board's membership. Members Margaret Gordon and Paul Pruitt retired from the Board after many years of distinguished service. The Board welcomed two new members in 2008, both of them long-time civic champions: Gunbjorn Ladstein, former president of the Seattle League of Women Voters and a former County transportation planner; and Bruce Laing, who has served as a King County Councilmember, a member of the state Growth Management Board, and as Hearing Examiner for King County. As always, our goals could not have been achieved without the tireless support of Board staff: Catherine Clemens, Executive Director, Peter Toliver, Administrative Specialist and legal counsel, Alan Abrams.

The national economic challenges of 2008 serve as a significant reminder that institutions cannot disregard basic standards of ethical conduct without experiencing negative consequences. King County's high ethical standards protect us from this risk, and in the coming year the Board remains committed to promoting awareness and compliance with our Code of Ethics.

Lois Price Sprallen, Chair

Roland H. Carlson

Gunbjorn Ladstein

Bruce C. Laing

Anne J. Watanabe



Report Summary

Serving King County Since 1972

ACHIEVEMENTS

- Established an initiative to promote and measure ethics standards in cooperation with the King County Human Resources Division leadership and its Service Delivery Managers/Ethics Partners.
- Provided training to 1,890 employees or approximately 14.5% of all county employees.
- Achieved 99.7% filing compliance for the financial disclosure program for employees and elected officials by the April 15th deadline, and achieved 99.2% filing compliance for board and commission members by that date.
- Conducted the fifth annual, on-line ethics quiz and survey for county employees with access to computers in which 20% of 12,000 employees took part.

BOARD ACTIVITIES AND OUTREACH

- Conducted eight public meetings at which members maintained a 90% attendance record.
- Hosted its ninth annual leadership reception where it recognized outstanding contributions by county employees and board members.

GOALS AND PERFORMANCE MEASURES

Goal I: Educate County Employees.

Ethics staff provided education to 1,890 county employees, with an emphasis placed on reaching new employees (81%) and supervisors, including directors and their deputies (9.4%). During three weeks in October, the office conducted the fifth annual, on-line ethics quiz and survey for county employees in which 20% of 12,000 county employees with computer access participated. In addition, employees received periodic broadcast emails regarding a new advisory opinion, allowable campaign activities, and fund-raising using county resources.

Goal II: Continue Systematic Review of the Ethics Code. The board made no review of the ethics code in 2008.

Goal III: Provide Advice and Guidance. The board issued one advisory opinion in 2008, responding to the question: What are the general guidelines for use

of county information technology assets by county employees under the Code of Ethics? The board opined that appropriate use of county information technology by county employees is essential to safeguard taxpayer dollars and ensure citizen trust in government; therefore use of county email and county-owned computers and printers to conduct private or personal business is prohibited, except for identified minimal personal uses and uses authorized by management. In addition, the board heard a request for advisory opinion from a County Council member regarding potential conflict for council members related to an ordinance and resolution; the board declined to issue an opinion on point of jurisdiction and suggested the complaint be addressed to the Office of Citizen Complaints – Ombudsman. Finally, the board heard a request for policy review from the King County Housing Authority related to potential conflict of interest for a member. Although the board declared it did not have jurisdiction over the matter, it did identify issues for consideration by the KCHA to aid it in its decision-making. The executive director responded to 241 requests for information on ethics issues by phone, and provided written responses to over 167 other ethics requests.

Goal IV: Conduct the Financial Disclosure Program and Consultant Disclosure Program. As of the filing deadline of April 15, 2008, 99.7% of the 2,766 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050; 99.2% of the 502 affected county board and commission members had filed. Under the consultant disclosure program, approximately 238 contractors and vendors filed consultant disclosure forms with the ethics office as required by K.C.C. 3.04.120.

Goal V: Collaborate with Other Ethics Agencies.

The Board of Ethics continued its work throughout the year to gain additional signers for the Multilateral Statement of Principles from cities and counties throughout Washington State. The Board of Ethics maintained its membership in the International Council on Governmental Ethics Laws (COGEL) and the executive director is an active member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations.



The King County Board of Ethics

MISSION

To ensure the highest standards of public service by developing, disseminating and promoting readily understandable ethics requirements for King County employees and agencies.

AUTHORITY

The King County Board of Ethics is authorized by King County Code 3.04, Employee Code of Ethics.

THE BOARD

Created by ordinance in 1972, the Board of Ethics is a five-member citizen advisory, administrative, quasi-judicial board. Authorized by K.C.C. 3.04, the board may interpret the code through advisory opinions, and implement forms, processes, and procedures to ensure compliance with the ethics code. In addition to those responsibilities, the board oversees the administration of financial and consultant disclosure requirements, and increases awareness of ethics issues through an extensive education and training program. The board also hears appeals on findings by the Office of Citizen Complaints—Ombudsman. The board is assisted by a full-time executive director and a half-time administrative staff located in a central office. The board and executive director are also advised by legal counsel from the prosecuting attorney's office. Together, they serve more than 13,000 employees within the legislative and executive branches of county government as well as the general public.

Two members of the board are to be appointed by the King County Executive and two members are to be appointed by the executive based on nominations made by the King County Council. The fifth member, who serves as chair, is appointed by the executive based upon nominations from the other board members.

The board conducted eight public meetings in 2008 and members maintained a 90% attendance record. During the annual board retreat held on Monday, January 22, the board approved the 2007 annual report and the 2008 business plan, and adopted the 2008 mission and goals.

2008 GOALS

GOAL I:

To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.

GOAL II:

To continue a systematic review of the Code of Ethics and make appropriate recommendations for consideration by the executive and County Council.

GOAL III:

To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.

GOAL IV:

To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflicts of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.

GOAL V:

To collaborate with other ethics agencies both public and private within the State of Washington and the U.S. and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program; to continue development of the Statement of Principles and encourage Washington state jurisdictions to endorse and promote the initiative.



2008 Initiatives

In addition to its activities expressly authorized under the Code of Ethics, the board actively pursued additional initiatives in 2008 as follows.

AWARENESS CAMPAIGN

The board continued this work which was created and designed to raise employee awareness of the Code of Ethics, the Board of Ethics, ethics office, and the resources they provide; to help employees make ethics decisions; and to help ensure the public's trust in King County government. Details of 2008 campaign activities are found on page 11.

STATEMENT OF PRINCIPLES

In January of 2003, the Board of Ethics began discussions about a statement of commonalities among ethics jurisdictions and the importance of articulating these shared values. The result was "Ethics, Public Service and the Public's Trust: A Bilateral Statement of Principles," between King County Board of Ethics and the Seattle Ethics and Elections Commission. The purpose of the document was to outline the clear language of the common elements shared by the two codes of ethics, in the belief that they reflect attitudes and a shared spirit among public employees that favor fair and honest decisions and actions. The two agencies also believe that an understanding of the commonalities will foster public trust, and public perceptions that principled approaches prevail in our local governments. On June 4, 2007, the number of signers

expanded to include the Spokane City Council in a ceremony hosted by the respective jurisdictions and the Daniel J. Evans School of Public Affairs at the University of Washington. In 2008, the Board of Ethics continued to work with jurisdictions throughout Washington state to encourage additional supporters and signers.

ANNUAL LEADERSHIP RECEPTION

Board members hosted the ninth annual reception for county leadership on September 9, 2008, which was attended by Executive Sims and County Council Chair Julia Patterson, department directors and deputies, separately elected officials and ethics partners, among others. Through this annual event, the board aims to maintain positive relationships throughout the county and keep officials informed and aware of the importance of ethics within county government. In addition, each year the board takes this opportunity to publically recognize employees who are positive role models. This year's ethics award-winners, acknowledged for their collegial spirit and advancement of ethics, were Arlene Sanvictores, senior deputy Ombudsman; Anita Whitfield, director, Human Resources Division, Michael Frawley, deputy director, HRD, and the HRD service delivery managers/Ethics Partners. The board also recognized retiring board members Margaret T. Gordon, PhD and Rev. Paul Pruitt for their significant contributions during their tenure on the board.



Board of Ethics Members



ROLAND H. CARLSON

Member

1994 — present

Roland (Ron) Carlson retired as an executive of the Boeing Company in 1994 after 34 years of service. His assignments included Defense and Space Division New Business Management and Product Line Planning, proposal management on missile system basing and management of the Boeing Southwestern Technical Office in Albuquerque, New Mexico.

Ron Carlson spent 5 years as a Research and Development Officer in the U.S. Air Force. Key assignments included nuclear blast and shock experiments on structures at the Nevada Test Site. He is presently a retired Air Force Reserve officer.

His academic and professional affiliations include Tau Beta Pi, Sigma Xi, the Geophysical Union, American Society of Civil Engineers, Chi Epsilon (MSU charter member), Phi Kappa Phi, American Association for the Advancement of Science, Boeing Management Association, Air Force Association and the American Defense Preparedness Association.

Mr. Carlson's professional activities include Registered Professional Civil Engineer in New Mexico; National Academy of Science and Defense Science Board Committees on Nuclear Hardening; consultant to NASA for geophysical experiments on the last Apollo lunar flight; member of the President's Committee for the National Medal of Science for two three-year terms; and a term as 47th District Representative in the Washington State House of Representatives.

Additional activities include Imperials Board of Directors, King County Library Board of Directors, and many years of Boy Scout work including Chairing the Eagle Scout Committee.

Ron Carlson received his Bachelor of Science degree in Civil Engineering from Michigan State University. He received a Master of Science degree in Structural Engineering from the University of Illinois. He has authored numerous professional papers and journal articles.



GUNBJORG LADSTEIN

Member

2008 — present

Gunbjorg Ladstein's professional experience includes working as a Transportation Planner for King County, retiring in 2006. Her work experience also includes working as Program Consultant for United Way of King County and Systems Engineer for IBM.

Gunbjorg is a long time member of the League of Women Voters of Seattle and served on the Board of Directors and as President. She served on the Washington State Boundary Review Board of King County, including a term as Chairperson. She also has served on various other citizens committees, including Citizens Water Rate Advisory Committee, Citizens Advisory Committee for Selection of Seattle School Superintendent, Committee to Select Consultant for Sewer Rate Study for City of Seattle Engineering Department, and King County Elections Advisory Committee. Gunbjorg currently



serves on the Ballard First Lutheran Church Council and the Northwest Washington Synod Evangelical Church of America Council.

Gunbjorg is a graduate of the University of Washington with a degree in Business Administration. She is a member of Phi Beta Kappa.



BRUCE C. LAING

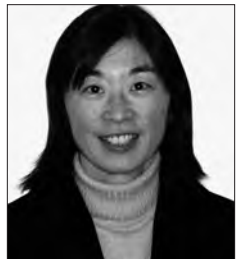
Member

2008 — present

Bruce Laing served on the Central Puget Sound Growth Management Hearings Board from 2003 to 2006. He was elected to the King County Council in 1979 and served in that office through 1995. During his tenure on the King County Council he also served on the Central Puget Sound Regional Transit Authority Board (now Sound Transit), on the Executive Board of the Puget Sound Regional Council (PSRC), and on the Council of the Municipality of Metropolitan Seattle (METRO).

Bruce is a charter member, and member of the College of Fellows, American Institute of Certified Planners. He has been a professional urban planner for more than forty years. His planning career includes a wide variety of experiences: Proprietor of a planning and government relations consulting firm, Planner with the U.S Department of Housing and Urban Development, Planner for a land development firm, Planner for an engineering and planning consulting firm, and King County Zoning & Subdivision Hearing Examiner.

Bruce is a graduate of Seattle University and holds the degree Master of Urban Planning from the University of Washington.



ANNE J. WATANABE

Member

2008 — present

Anne Watanabe is the Deputy Hearing Examiner for the City of Seattle, and has served in that capacity since 1995. She conducts quasi-judicial hearings and issues decisions and recommendations based upon the hearing record and the applicable laws. Prior to her work at the City of Seattle, Anne was a land use planner for the cities of Kent and Bellevue, a planner with the state Department of Ecology, a managing editor for a legal publisher, and also worked in private practice as an attorney.

Anne is a Seattle native, receiving her law degree and Masters in Urban Planning at the University of Washington. She is a member of the Washington State Bar Association. She previously served on the Board of the Municipal League of King County and as a volunteer with Refugee Women's Alliance and the King County Bar Association Neighborhood Clinics. She is currently a volunteer with St. James ESL and the Seattle Animal Shelter.



LOIS PRICE SPRATLEN, Ph.D.

Chair

1994 — present

Lois is the University Ombudsman and Ombudsman for Sexual Harassment at the University of Washington, and a professor in the School of Nursing. She joined the UW faculty in Psychosocial Nursing in 1972 after receiving her MN degree from UCLA with specialization in community mental health nursing. Her BS in nursing is from Hampton University, Hampton, VA, and her Ph.D. in Urban Planning is from the University of Washington. She is formerly a board certified psychotherapist and holds the designation of Clinical Specialist. In 1999 Lois was inducted as a Fellow in the American Academy of Nursing.

Having served as Ombudsman for Sexual Harassment since 1982, Lois was appointed University Ombudsman in 1988. She is the first woman on the UW campus to occupy this latter role, which was established in 1969. An active leader within the California Caucus of College and University Ombuds, Lois was named Ombuds of the Year in 1998. She also founded and is co-editor of *The Journal*, the oldest peer-reviewed publication for ombuds scholarship.

Locally, Lois has served other boards, including Group Health Cooperative of Puget Sound and the Metropolitan Seattle Urban League. She is past president and active member of Mary Mahoney Professional Nurses Organization, as well as the founder of its endowment, and past president of the Far West Region of the Hampton University Alumni Association. Lois is the author of *African America Registered Nurses in Seattle: the Struggle for Opportunity and Success*, and is currently working on a companion volume on African American Registered Nurses in Mississippi.

In 2005 Lois received the UW's Samuel E. Kelly Distinguished Alumni award for her life-time contributions to diversity. Her career community service contributions were recognized in 2006 with the receipt of the Martin Luther King, Jr. Award in the UW Health Sciences and her professional contributions were recognized by her induction into the Washington State Nurses Association Hall of Fame.

During her tenure as chair of the King County Board of Ethics, Lois has made prevention through education a primary focus, implementing an ethics education program designed to reach all employees, appointed and elected officials. She has promoted outreach to the County Executive and Council, and to other city, county and state ethics agencies. In 2004 Attorney General Rob McKenna asked Lois to serve on his transition team to focus on ethics-related matters.



Staff and Budget



CATHERINE A. CLEMENS

Executive Director

1997 - present

As executive director to the office of the Board of Ethics, Ms. Clemens provides staff support to the five-member board and is responsible for education and information on ethics-related issues to more than 13,000 employees. She conducts weekly ethics orientations for new employees; half-day, in-depth seminars for supervisors; issue-specific discussions for

general staff; and occasional forums for employees with specialized responsibilities, including human resources personnel and contract managers.

Ms. Clemens manages all programs under the provisions of the Code of Ethics, including the annual disclosure of financial and other interests for employees, elected officials, and board and commission members, as well as the consultant disclosure requirement for vendors, contractors, and consultants doing business with King County. In addition, she publishes advisory opinions, a Code of Ethics summary in plain language, the annual report, ethics-related brochures and ethics awareness materials, and maintains a comprehensive Web site: www.kingcounty.gov/ethics/.

Ms. Clemens manages the Ethics Help Line and responds to all ethics-related inquiries from county employees and the general public; she provides written informational responses upon request.

PETER TOLIVER

Administrative Specialist

2007 — present

Mr. Toliver coordinates the financial disclosure and consultant disclosure programs, assists in providing support to the Board of Ethics, preparing ethics publications, and providing information to inquiring employees and the general public.

ALAN ABRAMS

Senior Deputy Prosecuting Attorney

King County Prosecuting Attorney's Office

2003 - 2008

Mr. Abrams provides legal counsel to the board and director on all ethics-related matters.

BUDGET FOR CALENDAR YEAR 2008

Budget:	\$200,652
Staff positions:	1.5 Full Time Employees



Board Members and Staff 1983 - 2008

BOARD MEMBERS

Judith Woods, Ph.D.
1983 - 1992

Hubert Locke, Ph.D., Chair*
1984 - 1987

J. Patrick Dobel, Ph.D., Chair
1987 - 1996

Timothy Edwards, Esq., Chair
1989 - 1996

Rev. Paul F. Pruitt
1992 - 2008

Lois Price Spratlen, Ph.D., Chair
1994 - *present*

Roland H. Carlson, Acting Chair
1994 - *present*

Lembhard G. Howell, Esq.
1996 - 2002

Judge Paul M. Feinsod
1997 - 1999

Margaret T. Gordon, Ph.D.
1999 - 2008

Jerry Saltzman
2003 - 2007

Anne J. Watanabe, Esq.
2007 - *present*

Bruce C. Laing
2008 - *present*

Gunbjorg Ladstein
2008 - *present*

STAFF

Margaret A. Grimaldi, Administrator
1992 - 1997

Catherine A. Clemens, Executive Director
1997 - *present*

Viviane Diaz, Administrative Specialist
2006 - 2007

Peter Toliver, Administrative Specialist
2007 - *present*

***“Chair” indicates the member served in that capacity during his or her tenure on the board. Roster based on available information.*



Goal I — Education and Training

To educate county employees, county managers, and board and commission members of their obligations to the public under the Code of Ethics, and how ethics is a positive tool which supports both good management practices and good public service on behalf of the citizens of King County.

AWARENESS CAMPAIGN

Created in 2003, the goals of the awareness campaign are to raise employee awareness of the Code of Ethics, the Board of Ethics, ethics office, and the resources they provide; to help employees make ethical decisions; and to help ensure the public's trust in King County government. As part of this continued work, the ethics staff produced the fifth annual, on-line quiz and survey for county employees; sent periodic ethics messages on timely topics through the executive's broadcast email system; redesigned and distributed the board and commission member brochure; and produced and distributed the 2007 annual report. The ethics Web site was kept current and relevant since the site is a significant informational and educational tool for all county employees as well as the general public.

ETHICS PARTNERS

Ethics Partners is a dynamic enterprise between the ethics office, Human Resources Division, and county departments to support ethical decision-making and actions by employees and elected officials. Established in 2006, partners are human resources service delivery managers within each department who work with ethics staff on ethics-related communications, issues, needs assessments, and services. Ideally, these individuals already demonstrate an understanding of and support for sound ethical values throughout King County. Ethics staff presented to the ethics partners at least once in 2008, and communicated by phone and email on relevant issues throughout the year.

ETHICS PROMOTION AND MEASUREMENT INITIATIVE

The Human Resources Division and the office of the Board of Ethics worked collaboratively throughout the year to help promote and measure ethical conduct within King County. Capitalizing on existing ethics requirements and current HRD roles and responsibilities, HRD and ethics staff worked to enhance both agencies and help ensure high ethical standards for employees and elected officials. Of the four primary goals; three have been achieved and one is in development:

- Ensure the on-going ethics requirement for filing disclosure statements. The requirement is being met and the ethics office will report to HRD leadership annually of failure to file outside of the primary filing period, January to April.
- Add an ethics component in annual evaluations. This action will be incorporated into 2009 evaluation standards and protocols for all directors, managers, supervisors and leads, and will be included into HRD evaluation/appraisal manuals.
- Include an ethics interview question for promotions and new positions. HRD has added this subject matter in interview questions and protocols.
- Measure ethical conduct through annual reporting on ethics violations. HRD now provides the ethics office with quarterly reports based on the findings of its weekly pre-disciplinary review committee, highlighting cases in which the county imposed discipline specific to violations of the Code of Ethics. In 2008, three violations were reported for the following issues: providing benefit or favor to an immediate family member (1), and inappropriate use of county resources (vehicles) (2).



Goal I — Education and Training (continued)

ETHICS QUIZ AND SURVEY

In October, the executive director produced an on-line, interactive quiz and survey to determine the extent to which employees understand basic provisions of the Code of Ethics, and to become informed of employee opinions on the effectiveness of ethics training provided by ethics staff. Executive Sims assisted in these efforts by announcing the quiz and survey through a countywide global email inviting participation via Web link. All county employees having computer access were able to take part. The initial announcement was followed one week later by a reminder announcement in another employee global email. The survey remained open for completion for three weeks, and participation was encouraged by conducting a random drawing of participant names for three de minimis prizes. Results of the quiz and survey revealed the following facts:

- Total distribution: 12,000
- Overall participation rate: 20%

- Employees responded correctly to each of the eight quiz questions between 70% and 99% of the time.
- When asked if their ethics training included information on the county's commitment to ethics in the workplace, 91% agreed.
- When asked if their ethics training included practical examples of real-life situations that individuals may encounter on the job, 88% agreed.
- When asked if their ethics training provided them with enough information so that they knew how to resolve an ethical dilemma or situation, 84% agreed.
- When asked if their ethics training helped them resolve an ethical dilemma in their workplace, 40% agreed. (An additional 32% had not encountered any appropriate situations and 25% had no opinion.)
- When asked if they think their agency would benefit from an ethics presentation, 65% said 'yes'.

QUESTION	RESPONSE %	BASIS
Eight ethics code based questions	70% - 99%	Correct answers
Training included county's commitment?	91%	Agreed
Training included practical examples?	88%	Agreed
Now prepared to resolve a dilemma?	84%	Agreed
Agency would benefit from training?	65%	Yes



Goal I — Education and Training (continued)

QUIZ AND SURVEY CONCLUSIONS

- The record high number of employees voluntarily taking part in the ethics quiz indicates that employees have a continuing interest in workplace ethics; comments specifically about the quiz indicate employees enjoy and learn from the quiz and that it should be continued.
- Employees have a solid, basic understanding of the King County Code of Ethics demonstrated by the percentage of correct responses to questions; however, employees could benefit from additional education about 1) discussing future work with consultants over whom they have responsibilities, and 2) soliciting goods and services from county businesses for workplace initiatives. In both prohibited situations, 30% of county employees mistakenly thought such actions were acceptable.
- Education and training content and practical application delivered by ethics staff received high marks.

- Two-thirds of responding employees would welcome additional ethics education.

The 2008 Ethics Quiz and Survey, final report on results, and executive summary are available on the ethics Web site and by contacting the ethics office.

TRAINING AND EDUCATION OVERVIEW

The ethics office provided training and education to 1,890 county employees in 2008, with an emphasis placed on reaching new employees (81%) and supervisors, including directors and their deputies (9.4%). By focusing primarily on new employees and supervisory staff, the board and director help to ensure that new employees have an awareness of the code before beginning work, and then know who to contact for ethical guidance during their tenure, and that supervisors have the skills to identify and resolve ethics-related issues affecting their agencies, and have the opportunity to develop ethical practices so they may lead others more effectively.

YEAR	PRESENTATIONS	HOURS	PARTICIPANTS
1994 - 2000	14 - 36	11 – 91	600 - 1318
2001	34	44.50	1,166
2002	43	37.75	1,043
2003	64	76.00	1,785
2004	94	47.75	1,505
2005	120	87.50	2,222
2006	84	49.75	2,141
2007	78	48.25	1,924
2008	72	49.25	1,890

The number of employees receiving ethics training remained relatively constant over the past six years. (The high number of presentations and hours reflected in 2005 were due in part to twice-weekly new employee orientations which now are held once-a-week and in a larger conference room.)



Goal I — Education and Training (continued)

CLASSES

Education and training for county employees is the first goal and priority of the Board of Ethics. To meet that goal, the executive director conducted weekly, mandatory orientations for new county employees through the Human Resources Division (HRD). The orientations included an overview of the ethics code and an introduction to the ethics board and office. New employees received a Summary of the Code of Ethics, an Ethics Help Line card, and a brochure on ethics-related interactions with vendors, contractors and customers. Employees are encouraged to contact the ethics board and office as a resource to help them make ethical decisions in the workplace.

The executive director also conducted in-depth, half-day ethics seminars for supervisors through the mandatory HRD Supervisor Training Program. These courses included a

comprehensive review of the code, an introduction to the ethics board and office, a description of a decision-making model, and an interactive group activity in which supervisors discussed, analyzed, and solved ethics-related dilemmas. (For course evaluations, see below.)

EVALUATIONS

All students complete evaluations following each supervisor training course. Class participants were asked to rate the applicability of the knowledge and skills gained through the course to their current job, the quality of course content, and knowledge and ability of the instructor. In response to these questions, evaluators could choose from poor, fair, good, very good, and excellent. In addition, attendees were asked to rate their knowledge of county ethics requirements before and after the class on a scale of 1 to 5. Participants rated the ethics course as follows:

QUESTION	RESPONSE %	RATING
Applicability of knowledge to current job	98%	Good to excellent
Quality of course content	99%	Good to excellent
Knowledge and ability of instructor	99%	Good to excellent
Gained knowledge during course	70%	Minimum of 1 step gain



Goal I — Education and Training (continued)

INFORMAL PRESENTATIONS

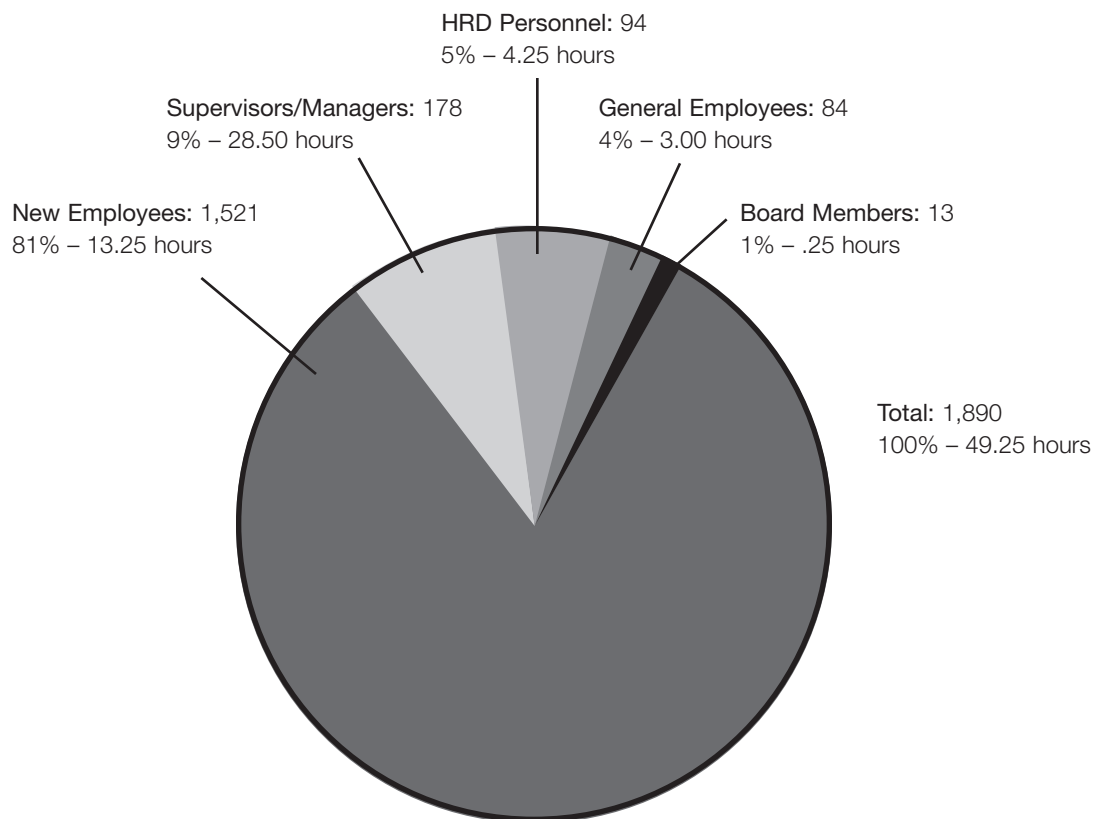
The executive director offered consultation and ethics education to departments by providing sessions tailored to the needs and schedules of the agency employees. These sessions included one-hour presentations during regularly scheduled staff meetings that focused on ethics-related issues specific to, or identified by, the group.

SPECIALIZED TRAINING

Additional training sessions focused on groups with specialized functions. These included human resources personnel; board members; department directors and their deputies; and staff liaisons and department coordinators with responsibilities related to the financial disclosure program.

TECHNOLOGY

The ethics Web site located at www.kingcounty.gov/ethics/ is available to any employee or citizen with Internet access, and continues to serve as an important resource for immediate ethics-related information and education. Resource content includes the Code of Ethics and related summary in plain language; all advisory opinions issued by the board in their full text; all rules and procedures; disclosure programs and related requirements and forms; ethics publications and recent news; information on the board and its office; the current and historical meeting schedules, agendas and minutes; and board initiatives such as the Statement of Principles and the annual reception and related ethics award-winners. Employee, board member, and consultant disclosure forms are also available on the Web site and may be filled out on-line.





Goal I — Education and Training (continued)

PUBLICATIONS AND AWARENESS MATERIALS

The executive director published and distributed the following publications and awareness materials in 2008:

- **SUMMARY OF THE CODE OF ETHICS**—a summary of the ethics code in plain language with examples; required to be received by all new employees. *(revised in 2008)*
- **ETHICS HELP LINE CARD**—Helping Employees Make Ethical Decisions—a rolodex-sized card with contact phone number designed for employees who have questions about ethical ways to approach their county work—distributed to all county employees.
- **YOU AND KING COUNTY: DOING BUSINESS WITH CONTRACTORS, VENDORS, CLIENTS, AND CUSTOMERS**—a brochure for those doing business or seeking to do business with the county, as well as county employees working with these client groups; highlights sections of the ethics code that affect these relationships—distributed to both employees and contractors, vendors, and customers.
- **MEMBERS OF KING COUNTY BOARDS, COMMISSIONS AND OTHER MULTI-MEMBER BODIES**—a brochure for volunteer citizens, highlighting ethics code provisions that affect their services on county boards and commissions. *(revised in 2008)*
- **ADVISORY OPINION SUBJECT INDEX AND SUMMARY GUIDE**—a complete set of summarized advisory opinions issued by the Board of Ethics, organized by subject and issue date—distributed in supervisor seminars and to county leadership and upon request.
- **2007 ANNUAL REPORT**—distributed to County Council members, the executive and executive cabinet, department directors and managers, past ethics board members, and local, regional, and national ethics agencies.
- **ETHICS POSTER**—12" x 17" poster with peel-off Ethics Help Line card for display in areas wherever employees expect to find helpful county information—distributed throughout the county.
- **POST IT-NOTE PADS**—3" x 4" post-it pads in the likeness of an Ethics Help Line cards for office use and to serve as a reminder of the ethics resources available to employees—distributed throughout the county.

Goal II - Review of the Code of Ethics

To continue a systematic review of the Code of Ethics and to make appropriate recommendations for consideration by the executive and county council.

The board made no review of the Code of Ethics in 2008.



Goal III - Advice and Guidance

To provide timely advice and guidance to county employees and county elected officials on compliance with the King County Code of Ethics.

ADVISORY OPINIONS

In 2008, the board issued one advisory opinion – opinion 1163 – regarding use of county computers, email and printers. This opinion addressed the question: What are the general guidelines for use of county information technology assets by county employees under the Code of Ethics? The board opined that appropriate use of county information technology by county employees is essential to safeguard taxpayer dollars and thus to ensure citizen trust in government. It determined that the Code of Ethics prohibits the use of county information technology, specifically county email and county-owned computers and printers to conduct private or personal business, except for identified minimal personal uses and uses authorized by management. The full text of the opinion may be found on the ethics Web site at www.kingcounty.gov/ethics/. In addition, the board heard a request for advisory opinion from a County Council member regarding potential conflict for council members related to an ordinance and resolution; the board declined to issue an opinion on point of jurisdiction and suggested the complaint be addressed to the Office of Citizen Complaints – Ombudsman. Finally, the board heard a request for policy review from the King County Housing Authority related to potential conflict of interest for a member. While the board declared it did not have jurisdiction over the matter, it did identify issues for consideration by the KCHA to aid it in its decision-making. The full text of the discussion and outcome may be found in the May 19, 2008, meeting minutes on the ethics Web site, or by request.

STAFF INFORMATIONAL RESPONSES

During the year, the executive director issued 167 staff informational responses in which she provided a written response to employee inquiries on situations in which the code and existing advisory opinions have already been applied to an analogous issue. This represents a 19% increase over the previous year, and the

highest response rate to date. Frequent issues included use of county resources; acceptance of gifts, meals, or attendance at events; conflict with official position; campaign activities; post-employment; outside or secondary employment; conflict for county board members; and conducting solicitation or fundraising. Because existing advisory opinions already provide guidance on ethical situations commonly faced by county employees, satisfactory responses to inquiries frequently do not require a new opinion. However, recipients of staff informational responses always have the option of requesting a formal advisory opinion from the ethics board.

Year	Ethics Advisory Opinions	Staff Informational Responses
1991	30	
1992	16	
1993	26	Not issued prior to 1994
1994	28	12
1995	25	15
1996	10	15
1997	8	42
1998	4	44
1999	1	21
2000	0	70
2001	0	77
2002	0	87
2003	0	69
2004	0	159
2005	1	135
2006	0	130
2007	0	140
2008	1	167
TOTAL	150	1,183

TELEPHONE INQUIRIES

Phone consultations help resolve ethics-related questions by providing employees and supervisors with the information they need to make common sense decisions. In addition to reviewing the situation and providing clarifying



information, the executive director encouraged employees to talk the matter over with their supervisors to resolve the issue within the context of departmental policy. During the year, the director responded to over 681 telephone calls; this figure does not reflect outgoing calls placed by the ethics staff or e-mail messages. Categories of inquiry included, among others, 241 ethics-related questions from employees; 82 questions on employee and board member financial disclosure; 35 public requests for ethics

information; 32 inquiries on the requirement for consultant disclosure; and 25 ethics-related questions referred to other agencies. Of the 241 ethics-related inquiries responded to by the ethics office, frequent subject issues included use of county resources; acceptance of gifts, meals and attendance at vendor events; use of or conflict with official position; outside or secondary employment; campaign activities, post-employment; and ethics issues related to board and commission membership.

Goal IV - Disclosure Programs

To conduct an annual review of financial disclosure statements for county officials and county employees to identify potential conflict of interest with their official duties; to conduct timely review of consultant disclosure statements to identify potential conflicts of interest for consultants with their duties related to county contracts.

EMPLOYEES AND ELECTED OFFICIALS

As of the April 15th deadline, 99.7% of the 2,766 affected officials and employees had filed statements of financial and other interests as required under K.C.C. 3.04.050. The executive director provided notices and regular reporting to the County Executive, County Council, the Ombudsman, and department directors as required by the King County Board of Ethics Rules Related to Filing Statements of Financial and Other Interests. In addition, the director reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Department coordinators received optional orientations in January as well as comprehensive informational packets to assist them in their role, and the financial disclosure coordinator provided weekly communications on employee filing status during the program period.

BOARD AND COMMISSION MEMBERS

As of the April 15th deadline, 99.2% of the 502 county board and commission members had filed statements of financial and other interests as required under K.C.C. 3.04.050. As with employee statements, the executive director reviewed each statement individually and is authorized to request additional or clarifying information before accepting the statement. Staff liaisons received optional orientations in January and informational packets, and the financial disclosure coordinator provided weekly communications on employee filing status during the program period.

Note: In 1996, the Washington state auditor conducted a routine review of the King County financial disclosure program and found significant problems with program compliance. Specifically, he found that employees with contract

YEAR	BOARD MEMBERS AND COMMISSIONERS (# and % compliance on 4/15)	EMPLOYEES AND ELECTED OFFICIALS (# and % compliance on 4/15)	CONSULTANT DISCLOSURE STATEMENTS (# of filings)
2003	448 - 99%	2,119 - 99%	299
2004	461 - 97%	2,302 - 99%	301
2005	432 - 96.8%	2,411 - 99.7%	300
2006	432 - 98.4%	2,432 - 99.8%	252
2007	445 - 98.2%	2,461 - 99.4%	253
2008	502 - 99.2%	2,766 - 99.7%	238



Goal IV - Disclosure Programs (continued)

management authority had failed to file the proper forms, that forms revealing potential conflict had not been reviewed adequately, and that a significant number of forms had not been signed. Since there were few systems in place to track and monitor who had filed, compliance was essentially voluntary. Affected employees routinely ignored the requirement or resisted disclosure of certain personal and financial information. Although the board chair announced the annual program by memo to county leadership, they were not involved to an extent that encouraged or ensured filing. Following the audit, the ethics board was held responsible for improving the program and bringing it into compliance with code requirements. Prior to 2003, filing statistics were calculated on the date during the year when the highest number of forms had been filed – sometimes as late as September. Since 2003, statistics were recorded as of the filing deadline,

April 15. Systems improvement, established policies and procedures, and leadership involvement resulted in a model program with virtually 100% compliance by deadline.

CONSULTANT DISCLOSURE

Under K.C.C. 3.04.120, each consultant entering into a contract to provide professional or technical services to the county costing over \$2,500 must file a sworn, written statement disclosing information related to potential conflicts of interest. The ethics office received and reviewed approximately 238 consultant disclosure forms in 2008. (2008 forms continue to be filed in early 2009.) All forms are individually reviewed and the executive director may request additional or clarifying information before accepting the form. No payment may be made on any affected contract until five days after receipt by the ethics office of the completed form.

Goal V - Collaboration with Other Ethics Agencies

To collaborate with other ethics agencies both public and private within the State of Washington and the U.S. and Canada for the purposes of information exchange and to consider program improvements for the King County ethics program; to continue development of the Statement of Principles and encourage Washington state jurisdictions to endorse and promote the initiative.

The Board of Ethics maintained its membership in the International Council on Governmental Ethics Laws (COGEL) and the executive director is an active member of the Northwest Ethics Network, an association of ethics officers in public, private, and non-profit organizations. Please see page 5 for a detailed report on the Statement of Principles.



